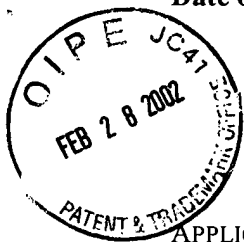


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Date of Deposit: February 28, 2002

Attorney Docket Number: 18475-025 (NEMC-6)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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TECH CENTER 1600/2900

APPLICANTS: Andrzej W. Lipkowski et al.  
SERIAL NUMBER: 09/988,792 EXAMINER: Vanessa L. Ford  
FILING DATE: November 20, 2001 ART UNIT: 1645  
FOR: NOVEL ANTIMICROBIAL COMPOUNDS

February 28, 2002  
Boston, Massachusetts

Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER

Transmitted herewith for filing in the present application are the following documents:

- ☒ Information Disclosure Statement (4 pages);
- ☒ PTO Form 1449 (2 pages);
- ☒ Twenty One (21) references; and
- ☒ Return Postcard.

No fee is believed to be due. However, if any fees are to be assessed, the Commissioner is hereby authorized to charge the balance due to the undersigned's account, Deposit Account No. 50-0311, Reference No. 18475-025 (NEMC-6). A duplicate copy of this transmittal letter is enclosed.

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at 617/542-6000, Boston, Massachusetts.

Respectfully submitted,

Sonia K. Guterman, Esq. (Reg. No. 44,729)  
Ingrid A. Beattie, Esq. (Reg. No. 42,306)  
Attorneys for Applicants  
c/o MINTZ, LEVIN, COHN, FERRIS  
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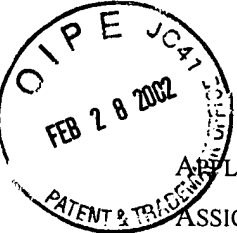
PATENT TRADEMARK OFFICE

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Date of Deposit: February 28, 2002

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#5  
2/19/02



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Andrzej W. Lipkowski et al.

ASSIGNEE: New England Medical Center Hospitals, Inc.

SERIAL NUMBER: 09/988,792

EXAMINER: Vanessa L. Ford

FILING DATE: November 20, 2001

ART UNIT: 1645

FOR: NOVEL ANTIMICROBIAL COMPOUNDS

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TECH CENTER 1600/2900

February 28, 2002

Boston, Massachusetts

Assistant Commissioner for Patents  
Washington, D.C. 20231

**STATEMENT FILED PURSUANT TO  
THE DUTY OF DISCLOSURE UNDER 37 C.F.R. §§1.56, 1.97 and 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicants request consideration of this Information Disclosure Statement.

PART I: Compliance With 37 C.F.R. §1.97

(Select A, B or C below)

A. ☒ This Information Disclosure Statement has been filed:

(Check 1, 2 and/or 3 below)

1. ☐ within three months of the filing date of the National Application.
2. ☐ within three months of the filing date of the entry of the National Stage, as set forth in 37 C.F.R. §1.491, in an International Application.
3. ☒ before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

B. ☐ This Information Disclosure Statement has been filed more than three months after the filing date of this application and after the mailing date of the first Office Action, but before the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311.

(Check 1 or 2 below)

1. ☐ The fee of \$180 as set forth in 37 C.F.R. §1.17(p) is enclosed.
2. ☐ The Applicants hereby certify, as specified in 37 C.F.R. §1.97(e), that (Check a or b below)
  - a. ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application not more than three months prior to the filing of this Statement.  
No fee is required.
  - b. ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart for this application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Statement.  
No fee is required.

C. ☐ This Information Disclosure Statement has been filed after the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311 and before payment of an Issue Fee.

1. The Applicants hereby certify, as specified in 37 C.F.R. §1.97(e), that:  
(Check a or b below)
  - a. ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application not more than three months prior to the filing of this Statement.
  - b. ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Statement.
2. A petition requesting consideration of the Information Disclosure Statement is attached.

3. The petition fee of \$130 as set forth in 37 C.F.R. §1.17(i)(1) is enclosed.

PART II: Information Cited

A. ☒ The Applicants hereby make of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

B. ☐ The Applicants hereby make the following additional information of record in the above-identified application:

PART III: Explanation of Non-English Language References  
and Remarks Concerning Other Information Cited

The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified).

PART IV: Remarks

A copy of each of the above-identified information is enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicants make no representation that a search has been performed, of the extent of any search performed, or that a more relevant information does not exist.

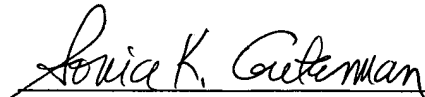
By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicants, the Examiner is urged to form his/her own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,



Sonia K. Guterman, Esq. Reg. No. 44,729  
Ingrid A. Beattie, Esq., Reg. No. 42,306

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Attorneys for Applicants

Date: February 28, 2002